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IN THE U.S. PATENT AND TRADEMARK OFFICE

APPLICANTS: Thor Bakke and Charles T. Sullivan

SERIAL NO.: Unknown

GROUP NO.

FILED: July 5, 2001

EXAMINER:

FOR: VERTICALLY-TAPERED OPTICAL WAVEGUIDE AND  
OPTICAL SPOT TRANSFORMER FORMED THEREFROM

Assistant Commissioner for Patents  
Washington, D.C. 20231

July 5, 2001

11000 U.S. PTO  
09/900004  
07/05/01

#2  
9/19/01  
M. F. Rudge

INFORMATION DISCLOSURE STATEMENT

The following sections are being submitted for this Information Disclosure Statement:

1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

2. Form PTO - 1449 (Modified).

3. The person making this statement is the attorney or agent who signs below on the basis of the information supplied by the inventor(s) and the information in the attorney's or agent's file.

Dated: July 5, 2001

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**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U. S. Postal Service on the date shown below as Express Mail No. EL026585914US in an envelope addressed to the: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: 7-5-01

Marilynn Gabel  
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